

**NV M 10XE.1A-1**

# **QUALITY MANAGEMENT MANUAL**

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## **DOE NEVADA OPERATIONS OFFICE**

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**INITIATED BY:  
Safety Division**



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**CHAPTER I**  
**PROGRAM DESCRIPTION**

1. **PROGRAM.**

a. **Requirement.** DOE/NV personnel shall strive to achieve quality in all items and processes. The application of the requirements in this manual should, however, be consistent with the evaluated risks to the environment, personnel health and safety, property, and equipment. DOE/NV Managers shall describe their decisions in this regard in written plans which include planning, scheduling, and cost control considerations. Planning documents shall address implementation of the requirements of DOE and NV Orders 5700.6C, NV Order 10XE.1A, this Manual, and the direction of the lead Program Secretarial Officer (PSO). Readiness reviews shall be performed consistent with the guidance of DOE Order 5700.6C.

b. **Responsibilities.**

- (1) The DOE/NV Manager retains responsibility for the scope and implementation of the Quality Management System (QMS).
- (2) DOE/NV Key Staff approve the assessments of risk that determine the extent to which the requirements of this Manual apply to their work.
- (3) DOE/NV Principal Staff ensure risk is assessed for their assigned work and implement the controls needed to ensure the achievement of quality.
- (4) DOE/NV Managers ensure that all employees understand and implement this program to achieve, maintain, and improve quality.

c. **Processes.**

- (1) This Manual describes the way DOE/NV combines the requirements of QA and self-assessment with the philosophy of Total Quality Management (TQM) to form a single integrated system called Quality Management. It serves, in conjunction with NV Order 10XE.1A, as the DOE/NV Quality Assurance Program (QAP) required by DOE Order 5700.6C. It includes the quality management procedures and is supported by documents such as management plans, implementation plans, DOE and NV Orders, and instructions developed at the Assistant Manager and Division level. For environmental restoration and waste management activities managed by DOE/NV, the QAP is supplemented with the

"Environmental Restoration and Waste Management Division QA Program Description and Implementation Plan." Other supplemental QAPs may be developed to meet PSO requirements.

- (2) DOE Order 5700.6C is the standard used to develop and implement the QAP for most DOE/NV activities. Other standards used to implement this QAP will be identified in planning documents. Some activities at DOE/NV are associated with nuclear weapons administered by the Assistant Secretary for Defense Programs (DP-1) and are, therefore, exempt from the provisions of DOE Order 5700.6C. DP-20 Quality Management Policy governs this work. NV Order 5700.6C delineates these activities and incorporates the DP-20 Quality Management Policy into the DOE/NV management system.
- (3) DOE/NV Principal Staff document their determinations of the relative importance of assigned functional areas, the responsibilities within their organizations, and the process controls required to ensure the quality of critical work. These determinations are guided by the mission, critical performance areas, and goals established by the DOE/NV Quality Council. Self-assessment programs are developed to ensure critical functional areas are periodically assessed, using the guidance of NV0-355.
- (4) The Departmental Directives System describes the management system and interfaces at DOE/NV. The organizational structure, functional responsibilities, levels of authority, and interfaces for work conducted by DOE/NV are described in NV Order 11XA.1 and other planning documents. Attachment I-1 provides the DOE/NV organizational chart. Work is assigned to parties outside DOE/NV by contracts, management agreements, and memoranda which define responsibilities, management controls, and lines of communication. Terminology needed to perform work is defined in planning documents and included in personnel indoctrination. Stop work processes, including subsequent readiness reviews, will be defined by DOE/NV quality management procedures. Imminent danger situations involving contractor employees are governed by DOE Order 5483.1A.

## 2. PERSONNEL TRAINING AND QUALIFICATION.

- a. Requirement. Personnel shall be trained and qualified to ensure they are capable of performing their assigned work. Personnel shall receive continuing training to ensure that job proficiency is maintained.

b. Responsibilities.

- (1) First-level supervisors establish qualification requirements for each position and second-level supervisors approve the requirements consistent with the Office of Personnel Management and DOE directives.
- (2) The Director, Human Resources Division (HRD), administers the DOE/NV training program under DOE and NV Orders 3410.1B, to assist DOE/NV Principal Staff and coordinate the efficient achievement of employee qualification.

c. Processes. HRD develops job and task analyses in conjunction with supervisors, subject matter experts, and job incumbents. These analyses are used to identify qualifications and to develop listings of the training, reading, and work activities required for generic job classifications. Based on these, supervisors prepare annual individual development plans to identify training needed to maintain and enhance job skills. When jobs require special skills, supervisors will document that personnel have demonstrated and maintained proficiency. DOE/NV Principal Staff determine which functional assignments are important enough to require certification of personnel qualification and ensure certification is current. The Director, Safety Division (SD), coordinates training needed to implement the QMS.

3. QUALITY IMPROVEMENT.

a. Requirement. DOE/NV shall establish and implement processes to detect and prevent quality problems and to ensure quality improvement. Items and processes that do not meet established requirements shall be identified, controlled, and corrected. Correction shall include identifying the causes of problems and preventing recurrence. Item reliability, process implementation, and other quality-related information shall be reviewed and the data analyzed to identify items, processes, and performance standards and measures which need improvement.

b. Responsibilities.

- (1) The DOE/NV Quality Council provides leadership and direction for the DOE/NV TQM effort in continuing improvement.
- (2) DOE/NV Principal Staff identify performance objectives and associated measures to promote continuous improvement.
- (3) The Director, Strategic Initiatives Office (SIO), analyzes information gathered throughout DOE/NV, identifies trends that

adversely impact or have potential to improve quality, and presents information to the DOE/NV Quality Council for action.

- (4) All personnel should identify nonconforming items and processes and suggest improvements.

c. Processes.

- (1) All DOE/NV personnel are encouraged to make improvement suggestions. Individuals are empowered to determine causes, design and implement solutions, and monitor their effectiveness. When problem resolution is outside an individual's area of responsibility, issues are sent to the DOE/NV Quality Council for resolution.
- (2) The DOE/NV Quality Council evaluates and ranks quality improvement projects, appoints teams, and authorizes them to seek causes and recommend solutions. The DOE/NV Quality Council provides a sponsor for each team. Subordinate councils may be established to assist the DOE/NV Quality Council. The DOE/NV Quality Council evaluates the results of Quality Improvement Teams and subordinate Quality Councils, and issues directives to carry out improvements.
- (3) Design reviews, safety analysis reports, nuclear explosive safety studies, and other analyses are conducted under applicable directives to manage risk, improve quality, reduce variability in processes, and prevent problems. Work at DOE/NV is regularly reviewed through the self-assessment programs described in paragraph 1 of this Chapter. Areas of potential improvement are also identified in surveillance reports, nonconformance reports, occurrence reports, accident investigation reports, management assessment reports, and independent assessment reports. The Performance Assessment Data Pool will serve as the central repository for much of the DOE/NV assessment and quality improvement information. The identification, control, and disposition of nonconforming items and processes will be defined by DOE/NV quality management procedures.

4. DOCUMENTS AND RECORDS.

- a. Requirement. Documents shall be prepared, reviewed, approved, issued, used, and revised to prescribe processes, specify requirements, or establish design. Records shall be specified, prepared, reviewed, approved, and maintained.

b. Responsibilities.

- (1) The Director, Information Management Division, manages the DOE/NV Directives System.
- (2) Procedures to protect and control classified documents are established by the Safeguards and Security Division.
- (3) DOE/NV Principal Staff shall control documents which specify requirements and prescribe processes for their assigned functions.
- (4) The Assistant Manager for Administration (AMA) manages DOE/NV records.

c. Processes. The Directives System is the primary means of controlling documents which prescribe processes, specify requirements, and define policy at DOE/NV. Within their areas of responsibility, DOE/NV Principal Staff initiate and review local implementing directives. Designs and other documents developed by contractors are controlled by systems developed under their approved QAPs. Planning documents specify the records required for individual programs and projects. DOE Order 1324.5B governs retention and disposition of records.

5. WORK PROCESSES.

a. Requirement. Work shall be performed to established technical standards and administrative controls. Work shall be performed under controlled conditions using approved instructions, procedures, or other appropriate means. All employees shall perform self-assessments of their own work to determine whether they are achieving quality, and to identify ways to improve their work processes. Items shall be identified and controlled to ensure their proper use. Items shall be maintained to prevent their damage, loss, or deterioration. Equipment used for process monitoring or data collection shall be calibrated and maintained.

b. Responsibilities. All personnel are responsible for the quality of their work. Any employee who identifies a condition of imminent danger to safety or health shall stop the work in process immediately. When the situation involves contractor employees, the provisions of DOE Order 5483.1A shall be followed. In cases where danger is not imminent, employees shall report unsatisfactory conditions to the appropriate contractor, supervisor, or designated official.

- (1) DOE/NV Principal Staff plan work, evaluate performance, and determine the need for instructions according to the importance, complexity, and risk of the work.

- (2) Supervisors ensure that workers have the necessary training, resources, and administrative controls, and that they are knowledgeable of the work requirements and processes they use.
- (3) The Director, SD, guides and coordinates the development of DOE/NV quality management procedures.

c. Processes.

- (1) Acceptable work performance is described in individual performance appraisal plans. Supervisors regularly review and evaluate work against these plans. Within their areas of responsibility, individuals and organizations at all levels continuously assess their own performance to identify positive as well as deficient practices. Issues are identified and evaluated for cause. Improvement actions are implemented, verified, reported to management, and shared with others for similar concerns. Work performed by contractors is continually monitored and reviewed. Results are documented in surveillance reports, Cost-Plus-Award-Fee performance reports, and correspondence.
- (2) DOE/NV directives guide the development and approval of instructions. Identification, control, handling, storage, and shipping of items are managed by contractors using procedures developed under their approved QAPs. Contractors calibrate and maintain measuring and test equipment using procedures developed under approved QAPs.

6. DESIGN.

- a. Requirement. Items and processes shall be designed using sound engineering and scientific principles and appropriate standards. Design work, including changes, shall incorporate applicable requirements and design bases. Design interfaces shall be identified and controlled. The adequacy of design products shall be verified or validated by individuals or groups other than those who performed the work. Verification and validation work shall be completed before approval and implementation of the design.

b. Responsibilities.

- (1) The Director, Nevada Test Site Office, directs design activities for test programs and general plant projects at the Nevada Test Site (NTS) and for event-related facilities.
- (2) The Director, Engineering Division (ED), coordinates other design activities. Responsibilities for design activities are



defined by contract in DOE and NV Orders 4700.1, and the NTS Standard Operating Procedure (NTS-SOP).

- c. Processes. Contractors perform most design activities at DOE/NV using systems developed under an approved QAP. Processes for design controls, interfaces, records, changes, and verifications are defined in DOE and NV Orders 4700.1 and the NTS-SOPs. Design reviews are completed by DOE/NV before approval of designs for construction. Designs are performed to standards, including DOE and NV Orders 6430.1B.

## 7. PROCUREMENT.

- a. Requirement. Procured items and services shall meet established specification, inspection, test requirements, and nonconformances shall be properly dispositioned before use. Prospective suppliers shall be evaluated and selected on the basis of specified criteria. DOE/NV shall ensure that approved suppliers can continue to provide acceptable items and services.
- b. Responsibilities.
  - (1) The Director, Contracts Division (CD), has overall responsibility for administering procurement activities at DOE/NV.
  - (2) The responsibilities of the Contracting Officer and the Contracting Officer Representatives are defined in procurement regulations and the contracts.
  - (3) The Contract Review Board provides independent review of procurement actions where required. Procurements performed for DOE/NV by contractors are controlled using systems developed under their approved QAPs.
- c. Processes. Procurement activities are governed by the Federal Acquisition Regulations, Department of Energy Acquisition Regulations, DOE and NV Orders, CD, and NTS-SOPs. DOE/NV has established an Acquisition Planning System, under NV Order 42XA.1B, to assign responsibilities and establish procedures for planning acquisitions on a fiscal year basis for large procurements.

## 8. INSPECTION AND ACCEPTANCE TESTING.

- a. Requirement. Inspection and acceptance testing of specified items and processes shall be conducted using established acceptance and performance criteria. Retesting to original criteria is required after deficiencies are corrected. Equipment used for inspections and tests shall be calibrated and maintained.

- b. Responsibilities. Inspections (Title III services) are performed by contractors using systems developed under approved QAPs. Responsibilities and activities are defined in DOE and NV Orders 4700.1 and NTS-SOPs 6401 and 4201.
- c. Processes. Inspection and acceptance criteria are included in procurement and design documents and on individual work requests. Acceptance testing procedures are developed for installed operating equipment as part of final inspection plans for construction projects. Acceptance testing is also required for major equipment purchases (items whose value is more than \$100,000). Measuring and test equipment is controlled, maintained, and calibrated by contractors using systems developed under approved QAPs. Use of measuring and test equipment is governed by approved instructions, as required by paragraph 5 of this Chapter.

## 9. MANAGEMENT ASSESSMENT.

- a. Requirement. DOE/NV Managers shall assess their management processes. Problems that hinder the organization from achieving its objectives shall be identified and corrected.
- b. Responsibilities.
  - (1) All DOE/NV Managers assess their management role as a part of the self-assessment process described under paragraphs 1 and 5 of this Chapter.
  - (2) DOE/NV Principal Staff assess the management of assigned facilities using the guidance of DOE Order 5480.19.
- c. Processes. The DOE/NV Self-Assessment Program Implementation Plan and the quality management procedures in Chapter III of this manual describe the processes used to conduct, report, analyze, and follow-up on management assessments. The Director, SD, uses information generated by management assessments to identify DOE/NV-wide trends and issues and then reports them to the DOE/NV Quality Council for consideration and action.

## 10. INDEPENDENT ASSESSMENT.

- a. Requirement. Planned and periodic independent assessments shall be conducted to measure item quality, process effectiveness, and to promote improvement. Assessment teams shall have sufficient authority and freedom to carry out their responsibilities. Persons conducting independent assessments shall be technically qualified and knowledgeable in the areas assessed but will not have direct responsibility for those areas.

b. Responsibilities.

- (1) The Director, SD, develops and conducts comprehensive, independent assessments of management; technical and quality aspects of DOE/NV and contractor programs and operations; and coordinates and maintains the DOE/NV schedule of external reviews, assessments, and other oversight activities.
- (2) DOE/NV Principal Staff resolve and track assessment results for deficiencies and improvement recommendations identified within their area of responsibility.

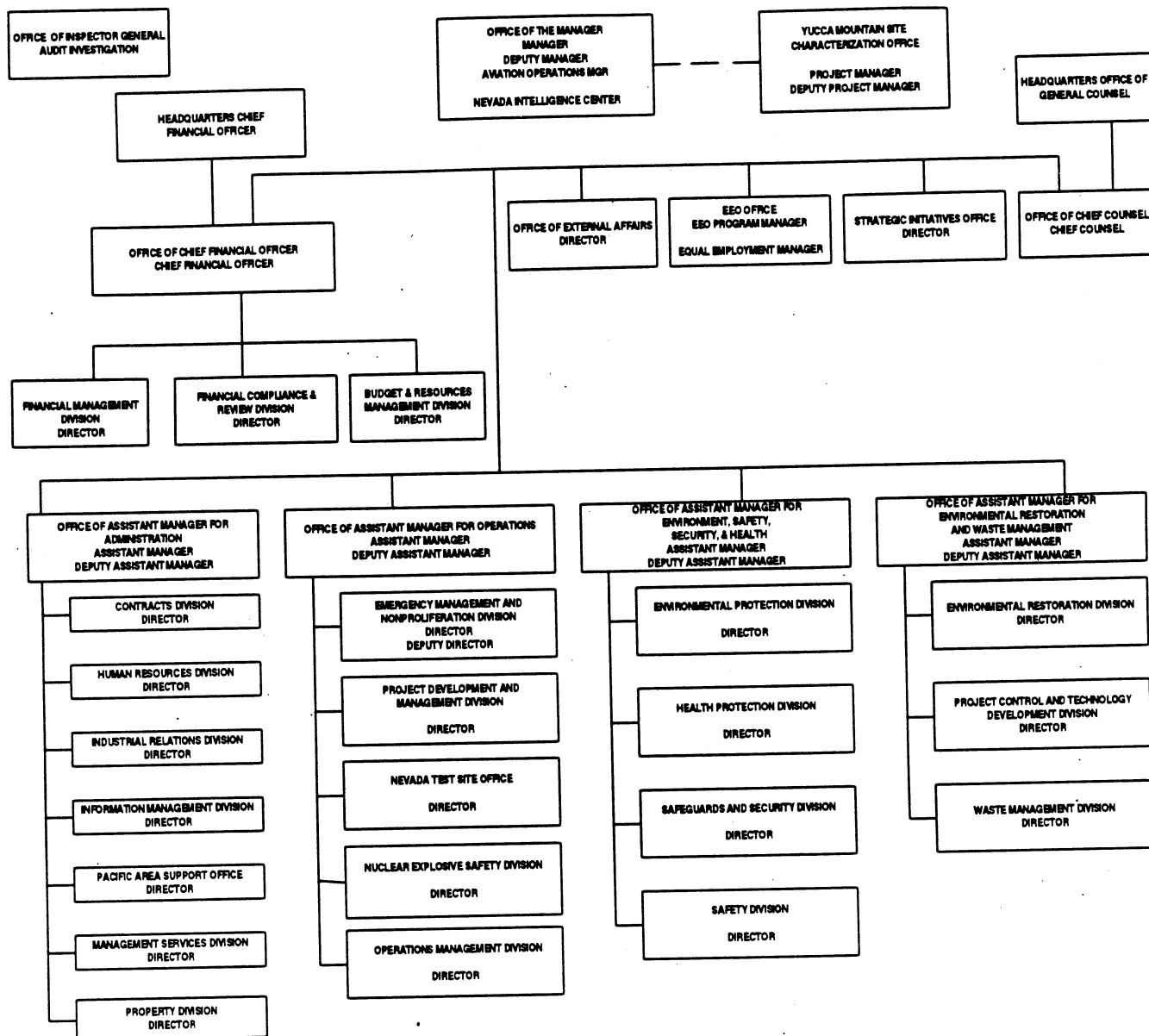
c. Processes.

- (1) The Director, SD, establishes procedures for independent assessments and for the qualification of assessment personnel. Independent assessments identify noteworthy practices as well as areas for improvement. Schedules are based on the importance of the work to the DOE/NV mission, critical performance areas, and goals. Assessments emphasize safety, reliability, performance, and the achievement of quality. Assessment criteria are based on the requirements of approved QAPs and performance objectives.
- (2) DOE/NV Principal Staff regularly assess regulatory compliance and performance as part of the self-assessment process described under paragraphs 1 and 5 of this Chapter. External organizations such as DOE Headquarters' (DOE/HQ) oversight groups also assess DOE/NV performance. The Director, SD, includes information generated by these assessments in the analysis of performance data to identify DOE/NV-wide trends and issues.



ORGANIZATION CHART

U.S. DEPARTMENT OF ENERGY - NEVADA OPERATIONS OFFICE





**CHAPTER II****DOE/NV FAMILY QUALITY GLOSSARY**

**Revised  
8/04/93**

This glossary has been prepared by a joint DOE/Contractor Working Group under the direction of the DOE/NV Family Quality Forum. It is intended for use by the DOE/NV Family Quality Forum, DOE/NV, and DOE users and contractors when referring to DOE quality programs. The scope of this glossary includes quality management, quality management systems, and quality assurance addressed in DOE/NV Orders and guidance. Sources used in the development of this glossary include DOE Orders, the "TRADE Quality Assurance Resources Guide," the "Juran Quality Control Handbook," and the "EG&G/EM Quality-Related Glossary." The DOE/NV Family Quality Glossary includes terms and definitions currently acknowledged by the DOE/NV Family Quality Forum. The Quality Forum will review this glossary annually for revisions. For questions or comments, contact the chairman, DOE/NV Family Quality Forum.

<b>Acceptance</b>	The decision that an item, process, or service conforms to specified characteristics defined in codes, standards, or other requirement documents.
<b>Acceptance Criteria</b>	Specific characteristics of an item, process, or service defined in codes, standards, or other requirement documents.
<b>Accuracy</b>	The closeness of a measurement to the accepted value. The smaller the difference between the measurement and the true value, the more accurate the measurement.
<b>Adaptability</b>	Capability for improvement to meet changing requirements. A characteristic needed to maintain process effectiveness and efficiency.
<b>Appraisal</b>	The act of determining quality, compliance, status, or value.
<b>Assessment</b>	The act of reviewing, inspecting, testing, checking, conducting surveillances, auditing, or otherwise determining and documenting whether items, processes, or services meet specified requirements.
<b>Audit</b>	A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of and

	<p>compliance with established procedures, instructions, drawings, and other applicable documents and the effectiveness of implementation. An audit should not be confused with surveillances or inspection activities performed for the sole purpose of process control or product acceptance.</p>
<b>Benchmarking</b>	<p>The process of comparing and measuring an organization's own performance on a particular process against the performance of organizations judged to be the best of a comparable industry.</p>
<b>Certificate of Conformance</b>	<p>A signed document authenticated by an authorized individual certifying that items or services meet acceptance criteria.</p>
<b>Commercial Grade Item</b>	<p>An item that is to be ordered from the manufacturer or supplier on the basis of specifications set forth in the manufacturer's published product description (for example, catalog).</p>
<b>Concern</b>	<p>Any situation which, while not in violation of any written procedure, indicates less than optimal performance and could be an indicator of a more serious problem.</p>
<b>Condition Adverse to Quality</b>	<p>An all-inclusive term used in reference to any of following: failures, malfunctions, deficiencies, defective items or nonconformance.</p>
<b>Corrective Action</b>	<p>Measures taken to rectify conditions adverse to quality and, where necessary, to preclude repetition.</p>
<b>Corrective Action Plan</b>	<p>The plan which identifies major work steps and scheduled completion dates needed to implement improvements.</p>
<b>Criteria</b>	<p>Rules or tests against which the quality of performance can be measured. They are most effective when expressed quantitatively. Fundamental criteria are contained in policies and objectives, as well as codes, standards, regulations, and recognized professional practices that DOE and DOE contractors are required to observe.</p>



<b>Customer</b>	An entity which receives products, services, or deliverables. Customers may be either internal or external.
<b>Deficiency</b>	A statement of fact concerning inadequacies of, or lack of, compliance with requirements; a variance from established procedures or criteria.
<b>Deliverable</b>	A generic term referring to products or services provided to customers.
<b>Deviation</b>	A departure from specified requirements.
<b>Disposition</b>	The action necessary to correct or resolve a nonconformance without regard to the root cause or action required to prevent recurrence.
<b>Document</b>	Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results.
<b>DOE/NV Contractor</b>	A supplier providing products or services directly to DOE/NV.
<b>DOE/NV Family</b>	DOE/NV, DOE/NV Contractors, and users of DOE/NV facilities.
<b>DOE/NV Organization</b>	Any organization other than DOE/NV, which uses a DOE/NV facility; provides products or services to DOE/NV; or participates in activities under or through the purview of DOE/NV.
<b>DOE/NV Quality Council</b>	The Team created at DOE/NV to provide leadership and direction in establishing and maintaining a Total Quality Management culture for seeking excellence by continuing improvement. It includes the DOE/NV Manager; Deputy Manager; Special Assistant Manager; Assistant Managers; Director, PAO; Director, Office of Quality Performance; CFO; a Secretary; and Facilitator. (NOTE: The SIO replaces the Office of Quality Performance).
<b>Effectiveness</b>	A process characteristic indicating the degree to which the process output (work product) conforms to requirements.

<b>Efficiency</b>	A process characteristic indicating the degree to which the process produces the required output at minimum cost.
<b>Empowerment</b>	A condition whereby employees have the authority to make decisions and act in assigned areas.
<b>External Assessment</b>	An assessment of an organization's program not under the direct control or within the organizational structure of the assessing organization.
<b>Finding</b>	An apparent violation of an applicable Federal law, DOE rule, order, a DOE issued or approved procedure, or other significant deficient practice.
<b>General Operations Activities</b>	A specific classification of work defined by the Deputy Assistant Secretary for Defense Applications (DASMA) as associated with facilities, products and operations not directly related to nuclear weapons, test devices, components, and assemblies. General Operations Activities are governed by DOE 5700.6C.
<b>Goal</b>	A statement of attainment/achievement which is proposed to be accomplished or attained with an implication of sustained effort and energy.
<b>Graded Approach</b>	A process used to assure that the depth of detail required and the magnitude of resources expended commensurate with programmatic importance and potential risk.
<b>Guideline</b>	A suggested practice that is not mandatory in programs intended to comply with a standard. The word "should" or "may" denotes a guideline; the word "shall" or "must" denotes a requirement.
<b>Internal Assessment</b>	An assessment of those portions of an organization's programs retained under its direct control and within its organizational structure.
<b>Management Assessment</b>	The determination of the appropriateness, thoroughness, and effectiveness of management processes.
<b>Mission Statement</b>	A statement of the specific task with which a person or group is charged.

<b>Nonconformance</b>	A deficiency in characteristic, documentation, or procedure that renders the quality of an item or activity unacceptable or indeterminate.
<b>Objective</b>	A statement of the desired result to be achieved within a specified time.
<b>Objective Evidence</b>	Any documented statement of fact, other information, or record, either quantitative or qualitative, pertaining to the quality of an item or activity, based on observations, measurements, or tests which can be verified.
<b>Observation</b>	Any situation not involving violation of a requirement but worthy of raising to the attention of management in order to enhance overall performance.
<b>Occurrence</b>	Any unusual or unplanned event having programmatic significance such that it adversely affects or potentially affects the performance, reliability, or safety of a facility.
<b>Occurrence Report</b>	A written evaluation of an occurrence that is prepared in sufficient detail to enable the reviewer to assess the significance, consequences, or implications and to determine the means of avoiding recurrence with minimal additional inquiry.
<b>Performance Assessment Data Pool (PADP)</b>	An aggregation of assessment information used by the DOE/NV Family to monitor the success of self assessment implementation and the progress of continuous improvement.
<b>Performance Indicator</b>	A quantifiable expression used to observe and track the status of a process.
<b>Performance Measure</b>	A generic term encompassing the quantitative basis by which objectives are established and performance is assessed and gauged. Performance measures include performance objectives and criteria (POC), performance indicators, and any other means that evaluate the success in achieving a specified goal.
<b>Performance Objectives and Criteria (POC)</b>	Quantifiable goals and the basis by which the degree of success in achieving these goals is established.

<b>Personnel Qualification</b>	The process of determining and documenting the characteristics or abilities gained through education, training, or experience as measured against established requirements, such as standards or tests, that qualify an individual to perform a required function.
<b>Policy Document</b>	A statement of principles and beliefs adopted to direct the overall management of affairs in support of a stated aim or goal. It is mostly related to fundamental conduct and usually defines a general framework within which other business and management actions are carried out.
<b>Precision</b>	The closeness of a group of repeated measurements, to their mean value. The smaller the difference between the group of repeat measurements and the mean value, the more precise the instrument. Precision is an indicator of the repeatability, or consistency, of the measurement.
<b>Problem Solving</b>	A structured process for acquiring and analyzing data in a way that will identify the root causes of quality problems and remove those causes or reduce their impacts.
<b>Problem Statement</b>	A description in specific and measurable terms of how a particular condition affects the performance of an organization.
<b>Procedure</b>	A document that specifies or describes how an activity is to be performed.
<b>Process</b>	Any activity or group of activities that takes an input, adds value to it, and provides an output to a customer. The logical organization of people, materials, energy, equipment, and procedures into work activities designed to produce a specified end result (work product).
<b>Productivity</b>	The value added by the process divided by the value of the labor and capital consumed.
<b>Qualified Procedure</b>	A procedure that has been demonstrated to meet the specified requirements for its intended purpose.
<b>Quality</b>	The degree to which a product or service meets customer requirements and expectations.

<b>Quality Assurance (QA)</b>	Actions that provide confidence that quality is achieved.
<b>Quality Assurance Program (QAP)</b>	The overall program established by an organization to implement the requirement of DOE Order 5700.6C.
<b>Quality Assurance Record</b>	A completed document that furnishes evidence of the quality of items and/or activities effecting quality.
<b>Quality Control</b>	Activities which provide a means to control and measure the characteristics of an item, process, procedure, or service against established requirements.
<b>Quality Improvement Project</b>	An issue scheduled for solution.
<b>Quality Management</b>	The aspect of management which promotes and implements quality philosophy, principles, and procedures.
<b>Quality Management Activities</b>	A specific classification of work defined by the Deputy Assistant Secretary for Defense Applications (DASMA) as consisting of operations directly related to nuclear weapons, test devices, components, and assemblies. Quality Management Activities are governed by DOE AL quality criteria QC-2 and are exempt from DOE 5700.6C.
<b>Quality Policy</b>	The overall quality intentions of an organization regarding quality, as formally expressed by top management.
<b>Record</b>	A completed document that furnishes evidence relating to items or activities.
<b>Requirement</b>	A formal statement of a need.
<b>Risk</b>	A quantitative or qualitative expression of possible loss which considers both the probability that an event occurrence will cause harm or loss and the consequences of that event.
<b>Root Cause</b>	The most basic reason for conditions adverse to quality that, if corrected, will prevent occurrence or recurrence.

<b>Self-Assessment</b>	The continuous process of comparing performance with desired objectives to identify opportunities for improvement. Assessments conducted by individuals, groups, or organizations relating to their own work.
<b>Significant Condition Adverse to Quality</b>	A significant condition adverse to quality which, if uncorrected, could have a serious effect on safety or operability.
<b>Significant Finding</b>	Any situation or an apparent violation of an applicable Federal law, DOE rule or order which significantly endangers the environment, safety or health of the public or workers.
<b>Special Process</b>	A process, the results of which are highly dependent on the control of the process or the skill of the operators, or both, and in which the specified quality cannot be readily determined by inspection or test of the product.
<b>Specification</b>	A document containing a detailed listing of criteria, and a formal description of a work product.
<b>Standard</b>	A rule for the measurement of quantity, extent, value, or quality established by law, authority, custom, or general consensus.
<b>Supplier</b>	Any individual or organization who furnishes items or services in accordance with a procurement document. An all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their subtier levels.
<b>Surveillance</b>	The act of monitoring or observing a process or activity to verify conformance to specified requirements.
<b>Technical Assessment</b>	The determination of the appropriateness, thoroughness, and effectiveness of technical processes.
<b>Total Quality Management (TQM)</b>	A management practice of continuous improvement quality that relies on active participation of both management and employees using analytical tools and teamwork.

<b>Unit of Measure</b>	A defined amount of some quality feature that permits evaluation of that feature in numbers.
<b>Validation</b>	The determination that an improvement action is functioning as designed and has eliminated the specific issue for which it was designed.
<b>Verification</b>	The determination that an improvement action has been implemented as designed.
<b>Waiver</b>	A documented authorization to depart from specified requirement.





CHAPTER IIIQUALITY MANAGEMENT PROCEDURESSECTION 1--PROGRAMPART A--PROCESSING DOE/NV ORGANIZATION QUALITY ASSURANCE PROGRAM DOCUMENTS

1. PURPOSE. This procedure defines the method for approval processing of DOE/NV Organization QAPs and Implementation Plans (IP), submitted to satisfy requirements of DOE Order 5700.6C and DOE Albuquerque Operations Office (DOE/AL) Quality Criteria QC-2. This procedure also defines the method for DOE/NV submittal of contractor QAPs/IPs to the appropriate Lead PSO for approval.
2. CANCELLATION. DOE/NV Memorandum, "DOE NEVADA FIELD OFFICE (DOE/NV) REVIEW OF CONTRACTOR, LABORATORY, AND OTHER AGENCY QUALITY ASSURANCE PLANS (QAPs)," PAQ/QAB:MPK-2091, of 6-12-92.
3. SCOPE. This procedure applies to DOE/NV.
4. EXEMPTIONS. DOE/NV Nuclear Facilities. Contractor QAP/IP documents submitted to satisfy the requirements of Reference d or other soon to be promulgated Title 10 Code of Federal Regulations (C.F.R.) Nuclear Safety rules are exempt. Contractor QAP/IP documents for nuclear facilities shall be processed utilizing References d, e, f, and applicable PSO guidance.
5. REFERENCES.
  - a. DOE and NV Orders 5700.6C, QUALITY ASSURANCE, of 8-21-91 and 3-17-95, respectively, or their successors, which establish DOE QA responsibilities and authorities.
  - b. DP-1 Memorandum, "Implementation of DOE Order 5700.6C, Quality Assurance," of 2-27-92, which provides Lead PSO guidance to field offices on review of QAP/IP documents for Defense Programs.
  - c. EM-20 Memorandum, "Guidance for the Submittal of Quality Assurance Programs for Review and Approval in Accordance with DOE Order 5700.6C, Quality Assurance," of 6-4-92, for Environmental Restoration and Waste Management Division (ERWM) Programs.
  - d. Title 10 C.F.R. 830.120, "Quality Assurance Requirements," of 5-5-94, which establishes QA requirements for contractors that manage and operate DOE nuclear facilities and applies Price Anderson Amendment Act requirements.

- e. DOE/AL Quality Criteria (QC-2), "Quality Criteria for Research, Design, Development, and Test," of 2-22-90, which provides quality assurance requirements to be applied to DOE/NV activities conducted under the direction of a test director from the Joint Testing Organization.
6. POLICY. DOE/NV will maintain a process to ensure timely review and disposition of DOE/NV organization QAPs/IPs submitted under requirements of References a, b, c, and e for DOE approval.
7. DEFINITIONS. (See also Chapter II.)
  - a. Coordinator. The DOE/NV person assigned by the DOE/NV Manager to coordinate the DOE/NV QAP/IP review process for a specific DOE/NV organization.
  - b. Default Approval. Automatic approval resulting from the expiration of review and approval periods provided in Reference a.
  - c. DOE Nevada Operations Office. The offices, divisions, branches, and groups established under the DOE/NV Manager.
  - d. Implementation Plan. The implementation plan which describes the schedules, milestones, and activities necessary to implement the regulation.
  - e. Quality Assurance Program. The overall program established by a DOE/NV organization to implement the requirements of DOE Order 5700.6C, or its successor. The program assigns quality assurance responsibilities and authorities, defines policies and requirements, and provides for the performance and assessment of work.
  - f. Reviewer. DOE/NV personnel assigned by the DOE/NV Manager to review specific DOE/NV organization QAPs/IPs.
8. RESPONSIBILITIES AND AUTHORITIES.
  - a. DOE/NV Manager.
    - (1) Establishes policy and provides direction and guidance for implementation of this procedure.
    - (2) Assigns responsibilities to DOE/NV personnel for review of DOE/NV organization QAPs/IPs.
    - (3) Recommends approval of Management and Operating (M&O)/Assistant Manager for Environmental Restoration and Waste Management (AMEM) contractor QAPs/IPs to the Lead PSO.

- (4) Receives and provides to the coordinator, the Lead PSO disposition of M&O/AMEM contractor QAPs/IPs submitted by DOE/NV for PSO approval.

b. Director, SD.

- (1) Functions as, or designates, a reviewer.
- (2) Revises this procedure and provides guidance regarding interpretation of its revision, as necessary.
- (3) Prepares recommendations designating specific DOE/NV personnel as coordinators and reviewers for DOE/NV Manager approval.
- (4) Ensures the assignment list, included as Attachment III-1A-1, is kept current.
- (5) Provides support to the coordinator, as requested.

c. Coordinator.

- (1) Ensures assigned DOE/NV organizations submit QAPs/IPs, as required, and coordinates the DOE/NV QAP/IP review process.
- (2) Functions as a reviewer.
- (3) Mediates and resolves differences of opinion resulting from the DOE/NV review process.
- (4) Approves acceptable QAPs/IPs for assigned DOE/NV organizations, except M&O/AMEM contractors.
- (5) Prepares DOE/NV Managers memorandum, recommending approval of M&O/AMEM contractor QAPs, to the Lead PSO.
- (6) Prepares and issues QAP/IP approval letters to contractors.

- d. Reviewer. Reviews QAP/IP for adequacy, acceptability, effectiveness, and compliance with applicable requirements from an independent functional perspective or their assigned project/program management perspective.

9. PROCEDURES.

- a. Attachment III-1A-1 provides the DOE/NV Manager assignments of DOE/NV personnel to DOE/NV organization QAP/IP review responsibilities.
- b. Attachment III-1A-2 provides a flow chart to graphically represent the following procedure steps.

ALL DOE/NV ORGANIZATION QAP/IP SUBMITTAL

- c. For the DOE/NV review process, the DOE/NV organization coordinates with and submits the requested number of copies of its QAP/IP to the DOE/NV Manager; Attn: Coordinator. Additional copies may be requested when PSO approval is required.
- d. After receipt of the DOE/NV organization QAP/IP submittal, the coordinator establishes a schedule for the DOE/NV review and approval process. In all cases, DOE/NV will use no more than one half of the QAP/IP Default Approval time period, established by DOE Order 5700.6C, for the DOE/NV review process. The schedule should include time for resolution of DOE/NV review comments, any necessary modification of the QAP/IP by the DOE/NV organization, and review of the modified QAP/IP by DOE/NV.
- e. The coordinator distributes the documents to the other reviewers requesting review comments, with a recommendation for approval if appropriate, by the scheduled due date.
- f. The coordinator and reviewers perform a review of the QAP/IP, and document the results of their review.
- g. Reviewers submit results of their QAP/IP reviews to the coordinator. Lengthy or numerous comments should be submitted on a floppy disk.
- h. The coordinator evaluates the results of the DOE/NV review process, resolves any conflicts, and clarifies all issues prior to making a determination of QAP/IP acceptability.
- i. When the DOE/NV organization QAPs/IPs are not acceptable, the coordinator prepares a letter, consolidating review comments, providing guidance, and requesting revision and re-submittal of the QAP/IP for DOE/NV review by a specific completion date. After concurrence by the reviewers, the letter is issued to the DOE/NV organization by the coordinator.
- j. Subsequent issues raised by the DOE/NV organization regarding review comments are resolved by the coordinator.
- k. The DOE/NV organization revises and resubmits the QAP/IP to the coordinator for review and approval.
- l. The coordinator ensures that the re-submitted QAP/IP incorporates the accepted comments/resolutions, revises the schedule if necessary, and distributes the revised QAP/IP into the review process.

**NON - M&O/AMEM CONTRACTOR QAP SUBMITTAL**

- m. The coordinator monitors progress on the submitted QAP/IP to ensure that the Default Approval time period, established in DOE Order 5700.6C, does not elapse.
- n. When QAPs/IPs are considered acceptable, the coordinator prepares a letter of approval. After concurrence by the reviewers, the letter is issued to the DOE/NV organization by the coordinator granting formal DOE/NV approval of their QAP/IP.
- o. The DOE/NV organization receives the formal documented DOE/NV approval of their QAP/IP for implementation and maintenance.

**M&O/AMEM CONTRACTOR QAP SUBMITTAL**

- p. When M&O/AMEM contractor QAPs/IPs are considered acceptable to DOE/NV, the coordinator prepares a memorandum to the Lead PSO that includes the initial QAP/IP submittal date, the default approval date, and a recommendation for the QAP/IP approval. After concurrence by the reviewers, the memorandum is written by the coordinator to the Lead PSO for signature by the DOE/NV Manager.
- q. The coordinator monitors progress on the QAP/IP submitted to the Lead PSO until approval response is received by the DOE/NV Manager or the default period has expired. Fifteen days prior to the Default Approval date, the coordinator documents a notification to the Lead PSO, that the DOE/NV organization's QAP/IP will be automatically approved on the applicable date.
- r. When the DOE/NV Manager receives a response from the Lead PSO indicating the submitted QAPs/IPs are not acceptable, the coordinator prepares a letter to the M&O/AMEM contractor requesting resolution of the PSO review comments, and revision and re-submittal of the QAP/IP for DOE/NV review by a specific completion date. After concurrence by the reviewers, the letter is issued to the M&O/AMEM contractor.
- s. Subsequent issues raised by the M&O/AMEM contractor regarding Lead PSO review comments are resolved by the coordinator.
- t. The M&O/AMEM contractor revises and resubmits the QAP/IP to the coordinator for review and approval.
- u. The coordinator ensures that re-submitted QAP/IP incorporates the Lead PSO review comments and distributes the revised QAPs/IPs into the DOE/NV and PSO review process.
- v. When the DOE/NV Manager receives a response from the Lead PSO indicating the submitted QAPs/IPs are approved, the coordinator prepares a letter of transmittal sending the PSO approval to the

M&O/AMEM contractor. After concurrence by the reviewers, the transmittal letter is issued by the coordinator to the M&O/AMEM contractor.

- w. When the time period established by DOE Order 5700.6C for default approval has elapsed, with no response from the Lead PSO, the coordinator prepares a notification letter indicating approval by default, of the M&O/AMEM contractor QAP/IP. After concurrence by the reviewers, the letter is issued to the M&O/AMEM contractor by the coordinator, with a copy to the Lead PSO.
- x. The M&O/AMEM contractor receives formal documented DOE/NV notification of PSO or default approval of the QAP/IP for implementation and maintenance.

#### 10. RECORDS.

- a. DOE/NV organization QAP/IP submittal and any related correspondence.
- b. DOE/NV correspondence distributing documents for DOE/NV or Lead PSO review.
- c. DOE/NV correspondence providing comments or results of reviews to coordinators or DOE/NV organizations.
- d. DOE/NV correspondence providing formal DOE/NV, or notification of PSO, approval to DOE/NV organizations.
- e. Lead PSO correspondence providing consolidated comments or results of the PSO review of M&O and AMEM contractor QAPs/IPs.
- f. Lead PSO correspondence providing formal approval of M&O and AMEM contractor QAPs/IPs.

#### 11. DOCUMENT CONTROL.

- a. The DOE/NV organization's approved QAPs/IPs are not considered DOE/NV controlled documents but are subject to the respective organizations document control process.
- b. The DOE/NV organization will keep all documents and correspondence including comments and resolution.
- c. This document is part of the formal directives system of Orders and Notices issued by DOE/NV which establishes the OPR for each directive. Documents are adequately controlled by this system and another formal document control system is not considered necessary.

Requests for interpretations of the provisions of this procedure and suggestions for changes should be addressed to the Director, SD, who is responsible for its content.





**ASSIGNMENT OF DOE/NV PERSONNEL  
TO DOE/NV ORGANIZATION OAP/IP REVIEW RESPONSIBILITIES**

<b>DOE/NV ORGANIZATION (CONTRACTING OFFICER)</b>	<b>COORDINATOR</b>	<b>REVIEWER</b>
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**(QAPs/IPs requiring PSO review and approval)**

EG&G/EM (K. Powers)	J. Magruder, AMO	J. Fiore, AMEM T. Wiard, ED R. Capshaw, SD
IT (J. Bradbery)	S. Mellington, ERD	R. Capshaw, SD
REECo (K. Powers)	J. McGrail, NTSO	J. Fiore, AMEM R. Tyrell, SSD R. Capshaw, SD
RSN (K. Powers)	J. McGrail, NTSO	J. Ross, ED G. Plummer, PASO R. Tyrell, SSD R. Capshaw, SD
WSI (K. Powers)	W. Adams, SSD	J. Magruder, AMO R. Capshaw, SD

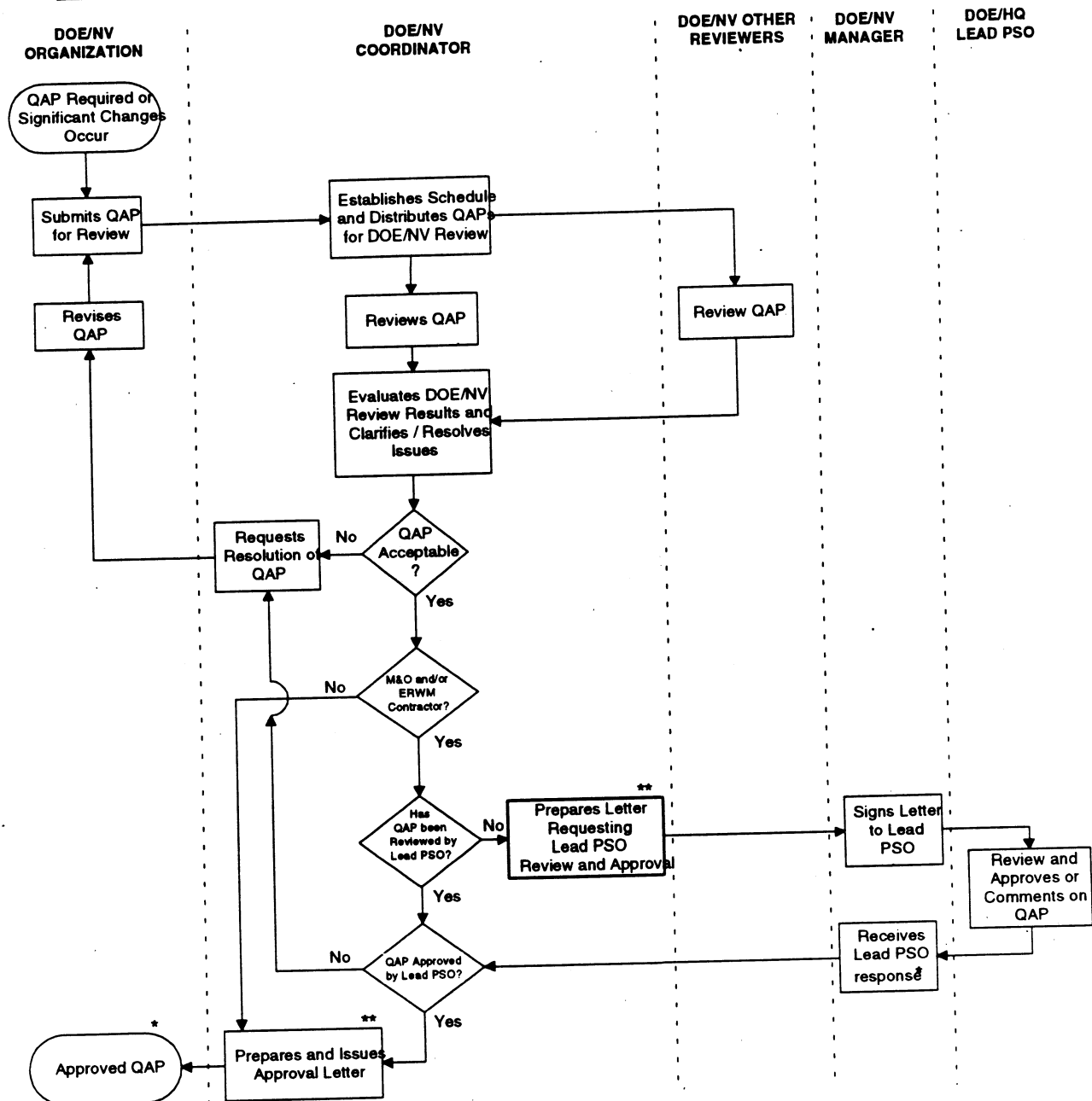
**(QAPs/IPs to be approved by DOE/NV)**

CSC (J. Bradbery)	D. Hafen, IMD	G. Lewis, IMD R. Capshaw, SD
DNA (J. Bradbery)	J. Magruder, AMO	R. Capshaw, SD

**ASSIGNMENT OF DOE/NV PERSONNEL  
TO DOE/NV ORGANIZATION OAP/IP REVIEW RESPONSIBILITIES  
(Continued)**

<b>DOE/NV ORGANIZATION (CONTRACTING OFFICER)</b>	<b>COORDINATOR</b>	<b>REVIEWER</b>
<b><u>(OAPs/IPs to be approved by DOE/NV, Cont.)</u></b>		
DRI (J. Bradbery)	J. Fiore, AMEM	D. Elle, EPD R. Capshaw, SD
EPA/EMSL (J. Bradbery)	G. Allen, OMD	R. Capshaw, SD
LANL/NTS (DOE/AL)	J. Magruder, AMO	R. Capshaw, SD
LLNL/NTS (DOE/OAK)	J. Magruder, AMO	R. Capshaw, SD
ARL/SORD (J. Ledbetter)	E. Forness, OMD	R. Capshaw, SD
PAI (J. Bradbery)	D. Elle, EPD	J. Fiore, AMEM R. Capshaw, SD
SNL/NTS (DOE/AL)	J. Magruder, AMO	R. Capshaw, SD
USGS (J. Ledbetter)	S. Leedom, OMD	R. Capshaw, SD

**DOE/NV PROCESS FOR REVIEWING DOE/NV ORGANIZATION SUBMITTED QAPs**



\*After a specified lapse of time the QAP is approved by default (see DOE Order 5700.6C).

\*\*Requires concurrence by Other Reviewers



CHAPTER III

SECTION 1

PART B

(to be added upon completion)



CHAPTER III

SECTION 1

PART C

(to be added upon completion)





CHAPTER III

SECTION 1

PART D

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 2--PERSONNEL TRAINING AND QUALIFICATION

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART A--Cause Analysis

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART B--Corrective Action

(to be added upon completion)





CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART C--Lessons Learned

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART D--Nonconformances

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART E--Performance Measures

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART F--Performance Assessment Data Pool

(to be added upon completion)





CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART G--Performance Analysis

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART H--Promoting Continuous Improvement

(to be added upon completion)



CHAPTER III

QUALITY MANAGEMENT PROCEDURES

SECTION 3--QUALITY IMPROVEMENT

PART I--Resolving Professional Differences

(to be added upon completion)



CHAPTER IIIQUALITY MANAGEMENT PROCEDURESSECTION 3--QUALITY IMPROVEMENTPART J--RESOLVING EXTERNAL ASSESSMENTS

1. PURPOSE. This procedure defines the process and assigns responsibilities within DOE/NV for managing the resolution of external assessments which present recommendations, findings, deficiencies, concerns, etc. So as to simplify discussions within this procedure, these terms are grouped together and referred to hereafter as "finding/recommendations."
2. CANCELLATION. DOE/NV letter, "Assessment Closure Process," of 2-24-93; Enclosure 2, "DOE/NV Process for Resolving External Assessments."
3. SCOPE. This procedure applies to all DOE/NV personnel. It also applies to DOE/NV Organizations when they are designated as implementing organizations for specific assessment improvement actions.
4. EXEMPTIONS. Audits, investigations, surveys, inspections, and assessments by the Office of Inspector General, General Accounting Office, the DOE CFO, or their designees, are the responsibilities of the Office of the CFO, DOE/NV, and are exempt from this procedure.
5. REFERENCES. See NV Order 10XE.1A, Attachment 1.
6. POLICY.
  - a. DOE/NV will maintain a program to ensure timely and appropriate improvement actions and prevent recurrence of all assessment finding/recommendations. DOE/NV will also promote the sharing of positive lessons learned.
  - b. There will be no redundant verification of improvement actions as part of this procedure. Once an improvement action is completed and associated finding/recommendations closed, finding/recommendations may not be reopened. Subsequent finding/recommendations are to be reported on their own but may refer to prior finding/recommendations of a similar nature.
  - c. DOE/NV will validate improvement actions during subsequent program and functional assessments which evaluate the appropriateness of root cause analysis and improvement actions.

- d. Status of progress on the completion of finding/recommendations shall be maintained via the ATS and reported, as required, to DOE/NV management.
- e. DOE/NV personnel will support and perform assigned activities in accordance with this procedure to ensure resolution and official closure of finding/recommendations.

7. DEFINITIONS. (See also Chapter II.)

- a. Assessment Tracking System. Computer system designed to support the tracking of assessments, finding/recommendations, and improvement actions at DOE/NV.
- b. Certification of Completion. The form used to document completion of the improvement actions which is co-signed by the implementing official and overseer.
- c. Coordinator. The DOE/NV individual assigned responsibility for identifying overseers for each finding/recommendation; coordinating development of an improvement action plan; monitoring timely implementation of improvement actions; reporting internally and externally; effecting closure of finding/recommendations on the ATS; and maintaining the certification file for each finding/recommendation.
- d. DOE Nevada Operations Office. The offices, divisions, branches, and groups established under the DOE/NV Manager.
- e. Implementing Organization. The organization responsible for developing and executing improvement actions.
- f. Implementing Official. The individual given official responsibility for developing proposed improvement actions to assessment finding/recommendations and, once approved, completing actions in a timely manner, including preparation and delivery of a Certification of Completion for each finding/recommendation or group of finding/recommendations.
- g. Improvement Action. Measures taken to rectify findings and, where necessary, to preclude repetition or to implement some other assessment recommendation. Multiple finding/recommendations may be addressed via one improvement action if they have a common root cause.
- h. Improvement Action Plan. A document prepared in response to an assessment. The plan includes improvement actions and specific milestones and timeliness. The plan will also include the names of the implementing official and overseer for each finding/



recommendation. The plan may recommend no action based on a cost/benefit analysis.

- i. Independent. Free from the influence, guidance, or control of another or others.
- j. Overseer. The DOE/NV Principal Staff individual responsible and accountable for ensuring that specific findings/recommendations are properly addressed and closed.

## 8. RESPONSIBILITIES AND AUTHORITIES.

### a. DOE/NV Manager.

- (1) Establishes policy and provides direction and guidance for implementation of this procedure.
- (2) Assigns responsibility of external reviews to a coordinator to coordinate completion of improvement actions.
- (3) Officially closes each assessment and provides written notification to the assessing office.
- (4) Mediates and resolves differences of opinion between implementing officials and overseers.

### b. Director, SD.

- (1) Logs external assessment reports.
- (2) Prepares a letter for the DOE/NV Manager's signature designating a coordinator for the assessment.
- (3) Reports to the DOE/NV Manager on the status of external assessments.

### c. Coordinator.

- (1) Identifies an overseer for each finding/recommendation.
- (2) Coordinates development of an improvement action plan when required by the external assessment.
- (3) Monitors timely implementation of improvement actions related to assessments for which he/she is responsible and reports to management.
- (4) Effects administrative closure of finding/recommendations on ATS.

- (5) Maintains the certification file for each finding/recommendation.
- (6) Prepares an official closure letter for the DOE/NV Manager's signature.

d. Overseer.

- (1) Ensures that assigned finding/recommendations are properly addressed and closed.
- (2) Identifies the organization(s) responsible for executing the improvement actions.
- (3) Reviews each proposed improvement action and approves those which properly address the root cause of the issue leading to the finding/recommendations.
- (4) Reviews and certifies completed improvement actions. Using a graded approach and personal discretion, verifies improvement action plan activities completed by the implementing official.
- (5) Ensures that all improvement actions are completed.
- (6) Maintains or ensures maintenance of complete records of objective evidence documenting completion of improvement actions.
- (7) Reports changes to the status of improvement action plan activities and progress made on those improvement actions under the purview of the DOE/NV Family.

e. Implementing Organization(s). Identifies implementing official for each finding/recommendation or group of finding/recommendations.

f. Implementing Official.

- (1) Develops proposed improvement actions for assessment finding/recommendations.
- (2) Completes improvement actions in a timely manner.
- (3) Maintains records of objective evidence documenting completion of improvement actions.
- (4) Prepares and delivers a Certification of Completion for each finding/recommendation or group of finding/recommendations.

9. PROCEDURES.

- a. Attachment III-3J-1 provides a flowchart to graphically represent the following procedure steps.
- b. When an external assessment is received by management, determination must be made if SD has received a copy. If a copy has not been received by SD, a copy must then be forwarded to them.
- c. When SD receives an assessment, they will recommend an individual to act as coordinator. A letter of delegation (Attachment III-3J-2) is then prepared for the DOE/NV Manager. SD logs external assessment reports using internal procedures.
- d. The Manager reviews the delegation letter and, if he concurs with the coordinator selection, signs the letter. If the Manager does not agree, he indicates who the coordinator should be and returns the letter to SD to be rewritten.
- e. Upon receipt of the delegation of authority letter, the coordinator enters all finding/recommendation information into the ATS. NOTE: Specific processes for ATS use are contained in the "ATS Reference Manual," of 9-92.
- f. The Coordinator also enters into the ATS the identification of overseers for each finding/recommendation.
- g. Each overseer determines which organizations are responsible for development and execution of one or more improvement actions pertaining to the assessment and then notifies each.
- h. Each implementing organization identifies and notifies an implementing official within their organization who will be responsible for ensuring development and execution of appropriate improvement actions.
- i. The implementing official takes improvement action or develops an improvement action plan and submits a report or plan to the overseer for review and approval within 30 days of being notified of the responsibility for such actions. (This does not preclude involvement by the overseer, compliance specialist, and/or coordinator.) The implementing official must determine the root cause of each assigned finding/recommendation and recommend appropriate improvement actions to be taken. Proposed improvement actions for each finding/recommendation are to include: specific schedules, costs, milestones, and objective evidence to be used as a standard in verification of completion. Findings involving imminent danger are to be handled according to DOE Order 5483.1A. Improvement action plans which cannot be completed within 1 year are to be approved by

- the DOE/NV Manager. Approved improvement actions and target completion dates are to be tracked by SD.
- j. The overseer determines the appropriateness of the proposed action. If the proposed actions are unacceptable, they are returned to the implementing official with specific deficiencies noted.
  - k. If the proposed actions are approved by the overseer, they are returned to the implementing official so work can be initiated. Approved improvement actions are then entered into the ATS by the implementing official. (Exceptions may be approved by the overseer.)
  - l. When required by the external assessors, the coordinator forwards a summary or compilation of improvement action plans to the external assessor.
  - m. The implementing official performs planned actions and enters the status of the finding/recommendations into the ATS (or reports status by other means approved by the overseer) as milestones are met, objective evidence is generated, etc., until all action associated with a finding/recommendation has been completed. If delays are encountered, improvement action plans are to be revised and approved according to paragraph i above.
  - n. Upon completion of all improvement actions pertaining to a finding/recommendation, a Certification of Completion (Attachment III-3J-3) is prepared by the implementing official and forwarded to the overseer. The Certification of Completion is to be used in lieu of other forms of correspondence (i.e., official letters, memorandums that require concurrence, etc.). A printout of ATS Report 0026, "Complete Finding Information," or other equivalent summary is to be attached for each finding/recommendation. (See Attachment III-3J-4.)
  - o. The overseer confirms that the approved improvement actions are complete and reviews the documentation. If the improvement actions and documentation are complete, the overseer signs the Certification of Completion approving closure. If the improvement actions or documentation are not complete, the Certification of Completion will be returned to the implementing official for further action.
  - p. If the implementing official agrees with the decision of the overseer, additional documentation will be generated and provided. In those rare instances when the implementing official does not agree with the decision, an appeal may be prepared and submitted to the DOE/NV Manager for resolution.
  - q. Once the Certification of Completion is signed, the status is changed by the overseer from open to closed on the ATS, and the documentation

(to include an updated Report 0026) is forwarded to the coordinator for permanent retention.

- r. The coordinator reviews the documentation to determine if the Certification of Completion is present and signed by both parties and an updated ATS Report 0026 is attached. If the documentation is complete, the coordinator administratively closes the finding/recommendation on the ATS. If the documentation is incomplete, the coordinator returns the documentation to the overseer so that it may be completed.
- s. Upon administrative closure, the package is filed and maintained by the coordinator and a copy of the certification is sent to SD.
- t. Once all finding/recommendations are closed, the coordinator prepares a letter for the DOE/NV Manager's signature to inform the external assessor of DOE/NV official closure of the assessment.
- u. Upon distribution of the letter, the coordinator officially closes the assessment on the ATS.

10. QA RECORDS.

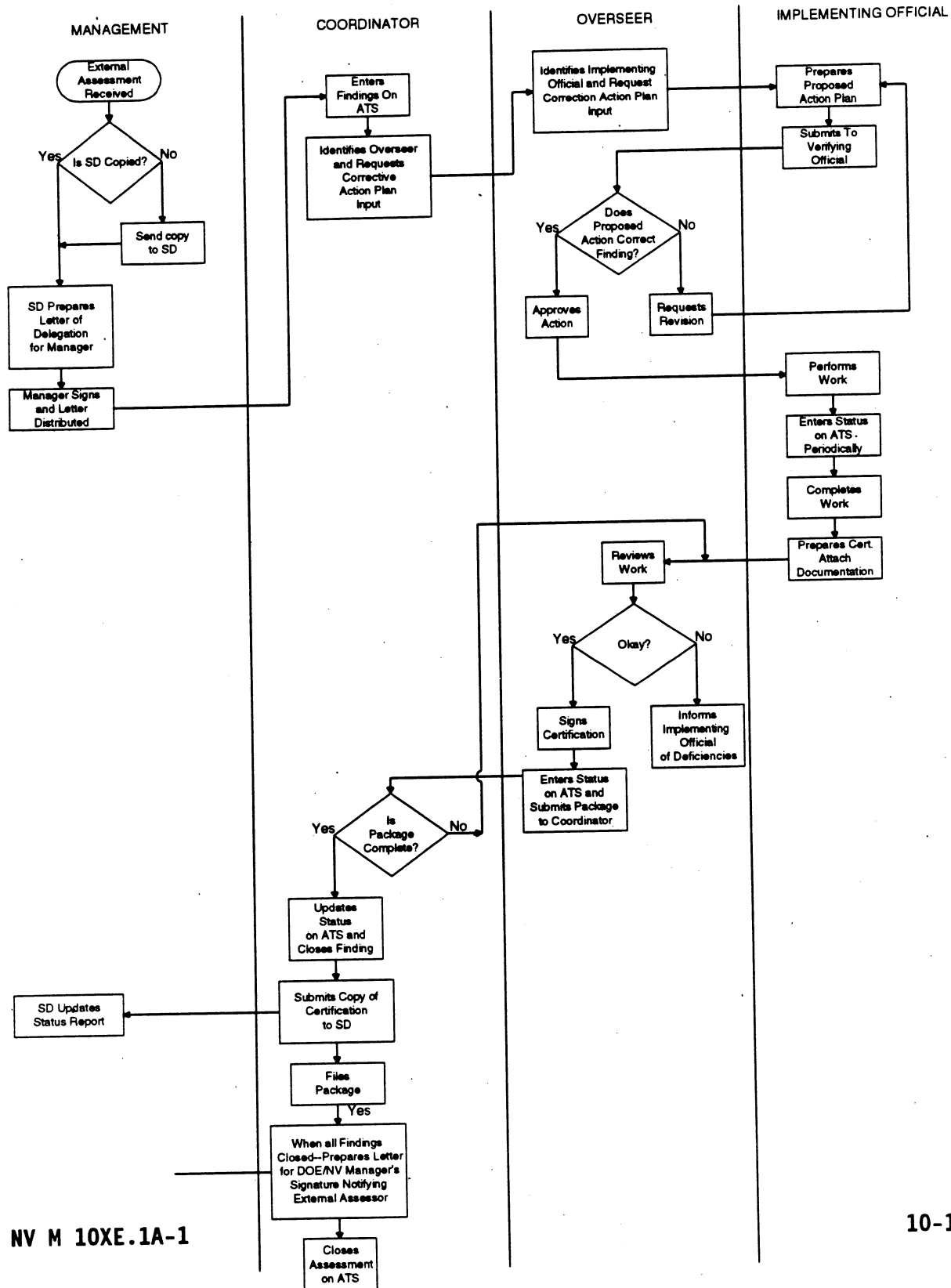
- a. Objective evidence will be maintained by the implementing official.
- b. The Certification of Completion will be maintained by the coordinator.
- c. Electronic files stored in the ATS will be maintained by the AMA. Information held by the implementing official and overseer will be retained in accordance with DOE Order 1324.2B.

11. DOCUMENT CONTROL. The content of this procedure is the responsibility of the Director, SD. Requests for interpretations of the provisions of this procedure and suggestions for changes should be addressed to the Director, SD.



QUALITY MANAGEMENT MANUAL

DOE/NV PROCESS FOR RESOLVING EXTERNAL ASSESSMENTS







EXAMPLE  
DELEGATION OF AUTHORITY LETTER

ADDRESSEE (Assessment Coordinator)

DELEGATION OF AUTHORITY FOR ADMINISTRATION OF EXTERNAL ASSESSMENT

On (date of assessors visit), (name and office of external assessor) completed a review of (subject of assessment) at (location of assessment). (Copy enclosed.)

Pursuant to Section 4.2 of Defense Programs Guidance of 1-13-92, you are designated as the Assessment Coordinator for the above report with full authority to administer and monitor completion and verification of activities pertaining to improvement actions in accordance with established procedures.

The following are your responsibilities as Assessment Coordinator:

1. Identify overseer for each finding/recommendation.
2. Coordinate development of an improvement action plan.
3. Monitor timely implementation of improvement actions.
4. Report internally and externally, as appropriate.
5. Effect closure of finding/recommendations on ATS.
6. Maintain the certification file for each finding/recommendation.
7. Prepare official closure letter for my signature.

If you have any questions, please contact Lester P. Skousen, Jr., at 295-0900. SD personnel will aid you in understanding and implementing these requirements.

Terry A. Vaeth  
Acting Manager

Enclosure:  
As stated



**EXAMPLE****DOE NEVADA OPERATIONS OFFICE  
CERTIFICATION OF COMPLETION****ASSESSMENT REPORT TITLE:****DATE:****FINDING/RECOMMENDATION NUMBER(S):****A. IMPLEMENTING OFFICIAL**

I hereby certify that the appropriate improvement action(s) for the above finding/recommendation(s) have been satisfactorily completed and recommend closure. Attached is the ATS report on detailed actions taken. Following are references to documents which provide objective evidence of completion of improvement actions:

<b>ACTION</b>	<b>DOCUMENT TITLE</b>	<b>DATE</b>	<b>FILE LOCATION</b>

\_\_\_\_\_  
Typed Name and Signature\_\_\_\_\_  
Date**B. OVERSEER**

I have reviewed the actions taken to address the above finding/recommendation, believe them to be satisfactorily completed and properly documented, and hereby approve closure.

\_\_\_\_\_  
Typed Name and Signature\_\_\_\_\_  
Date



**ASSESSMENT TRACKING SYSTEM REPORT**

United States Department of Energy  
Nevada Operations Office

**Report R0026 Complete Finding Information**

Finding: Findings: Priority: Status: Action Plan page: Assessment page: Planned Action: Description:	Section: QUALITY ASSURANCE Short name: OGE STANDARDS PROGRAM Type: Approving Official: Compliance: Line: Contractor:	Estimator: Actual:	Assessment ID: Findings: Start: Completion:
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1 Requirements	0 Area / Discipline	0 Position	0 Risk Assessment Code
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Planned Action: Planned Action: Findings: Description:	Short name: Date of completion:
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Sets of Milestones: Sets: - Name: Findings: Action:	Compliance: Line: Contractor:
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Milestones: Milestones: Short name: Status: Description:	activity: Findings:	Compliance: Line: Contractor:	Originals: Current:	Start: Completion:
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1 Deliverables Required	0 Documentation Produced
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Milestones: Milestones: Short name: Status: Description:	activity: Findings:	Compliance: Line: Contractor:	Originals: Current:	Start: Completion:
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0 Deliverables Required	0 Documentation Produced
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Milestones: Milestones: Short name: Status: Description:	activity: Findings:	Compliance: Line: Contractor:	Originals: Current:	Start: Completion:
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CHAPTER IIIQUALITY MANAGEMENT PROCEDURESSECTION 3--QUALITY IMPROVEMENTPART K--RESOLVING INTERNAL ASSESSMENTS

1. PURPOSE. This procedure defines the process and assigns responsibilities within DOE/NV for managing the resolution of internal assessments which present recommendations, finding/recommendations, deficiencies, concerns, etc. So as to simplify discussions within this procedure, these terms are grouped together and referred to hereafter as "finding/recommendations."
2. CANCELLATION. DOE/NV letter, "Assessment Closure Process," of 2-24-93; Enclosure 1, "DOE/NV Process for Resolving Internal Assessments."
3. SCOPE. This procedure applies to all DOE/NV personnel. It also applies to DOE/NV Organizations when they are designated as implementing organizations for specific assessment improvement actions.
4. EXEMPTIONS. Audits, investigations, surveys, inspections, and assessments conducted by the DOE/NV CFO are exempt from this procedure.
5. REFERENCES. See NV Order 10XE.1A, Attachment 1.
6. POLICY.
  - a. DOE/NV will maintain a program to ensure timely and appropriate improvement actions and prevent recurrence of all assessment finding/recommendations. DOE/NV will also promote the sharing of positive lessons learned.
  - b. There will be no redundant verification of improvement actions as part of this procedure. Once an improvement action is completed and associated finding/recommendation closed, the finding/recommendation may not be reopened. While subsequent findings/recommendations are to be reported on their own, they may refer to prior findings/recommendations of a similar nature.
  - c. DOE/NV will validate improvement actions during subsequent program and functional assessments which evaluate the appropriateness of root cause analysis and improvement actions.
  - d. Status of progress on the completion of finding/recommendations shall be maintained via the ATS and reported to DOE/NV management.

- e. DOE/NV personnel will support and perform assigned activities in accordance with this procedure to ensure resolution and official closure of finding/recommendations and concerns.

7. DEFINITIONS. (See Also Chapter II.)

- a. Assessment Tracking System. Computer system designed to support the tracking of assessments, finding/recommendations, and improvement actions at DOE/NV.
- b. Assessor. The DOE/NV individual responsible for performing the assessment and recommending an overseer of improvement actions. On a functional appraisal of a contractor the assessor may also be the overseer.
- c. Certification of Completion. The form used to document completion of the improvement actions which is co-signed by the implementing official and overseer.
- d. DOE Nevada Operations Office. The offices, divisions, branches, and groups established under the DOE/NV Manager.
- e. Implementing Organization. The organization responsible for developing and executing improvement actions.
- f. Implementing Official. The individual given official responsibility for developing proposed improvement actions to assessment findings/recommendations and, once approved, completing actions in a timely manner, including preparation and delivery of a Certification of Completion for each finding/recommendation or group of findings/recommendations.
- g. Improvement Action. Measures taken to rectify findings and, where necessary, to preclude repetition, or to implement some other assessment recommendation. Multiple finding/recommendations may be addressed via one improvement action if they have a common root cause.
- h. Improvement Action Plan. A document prepared in response to an assessment. The plan includes improvement actions and specific milestones and timelines. The plan will also include the names of the implementing official and overseer for each finding/recommendation. The plan may recommend no action based on a cost/benefit analysis.
- i. Overseer. The DOE/NV Principal Staff individual responsible and accountable for ensuring and documenting that assigned finding/recommendations are properly addressed and closed. On a functional appraisal of a contractor the overseer may have been the



assessor. If the implementing official is a Federal employee, the overseer may be the implementing official's manager.

8. RESPONSIBILITIES AND AUTHORITIES.

a. DOE/NV Manager.

- (1) Establishes policy and provides direction and guidance for implementation of this procedure.
- (2) Assigns responsibility for performing internal assessments to DOE/NV organizational elements.
- (3) Mediates and resolves differences of opinion between implementing officials and overseers.

b. Director, SD. Reports to the DOE/NV Manager on the status of the assessment process.

c. Assessor.

- (1) Performs assessment.
- (2) Identifies an overseer for each finding/recommendation.

d. Overseer.

- (1) Ensures that assigned finding/recommendations are properly addressed and closed.
- (2) Identifies the organization(s) responsible for executing the improvement actions.
- (3) Reviews each proposed improvement action and approves those which properly address the root cause of the issue leading to the finding/recommendations.
- (4) Reviews and certifies completed improvement actions. Using a graded approach and personal discretion, verifies improvement action plan activities completed by the implementing official.
- (5) Ensures that all improvement actions are completed.
- (6) Maintains or ensures maintenance of complete records of objective evidence documenting completion of improvement actions.
- (7) Reports changes to improvement action plans and progress made on improvement actions.

e. Implementing Official.

- (1) Develops proposed improvement actions for assessment finding/recommendations.
- (2) Completes improvement actions in a timely manner.
- (3) Maintains records of objective evidence documenting completion of improvement actions.
- (4) Prepares and delivers a Certification of Completion for each finding/recommendation or group of finding/recommendations.

9. PROCEDURES.

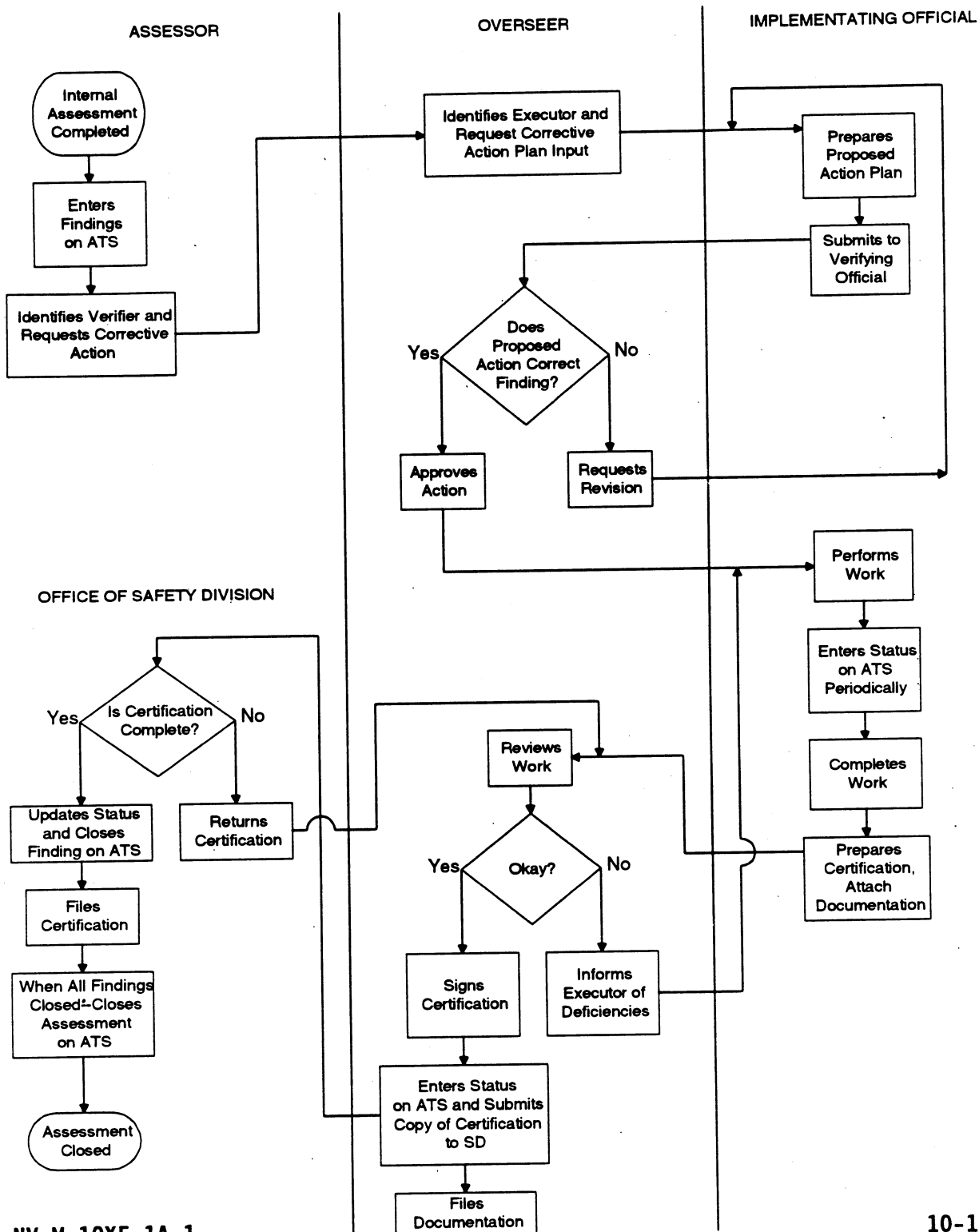
- a. Attachment III-3K-1 provides a flowchart to graphically represent the following procedure steps.
- b. When an internal assessment is completed, the assessor enters all finding/recommendation information into the ATS. NOTE: Specific processes for ATS use are contained in the "ATS Reference Manual," of 9-92.
- c. The assessor enters identification of overseers for each finding/recommendation into the ATS. On a cross-organizational finding/recommendation, the DOE/NV Manager will designate an overseer.
- d. Each overseer determines which organizations are responsible for development and implementation of improvement actions and then notifies each.
- e. Each implementing organization identifies and notifies an official within their organization who will be responsible for ensuring development and implementation of appropriate improvement actions.
- f. Implementing officials develop improvement actions and submit them to the overseer for review and approval within 30 days of being notified of their responsibility for such actions. (This does not preclude involvement by the overseer, assessor, and/or compliance specialists.)
- g. The implementing officials must determine the root cause of each finding/recommendation for which they are responsible and recommend appropriate improvement actions to the overseer.
- h. The implementing officials prepare proposed improvement actions for each finding/recommendation, to include: specific schedules, costs, milestones, and objective evidence to be used as a standard in

verification of completion. Finding/recommendations involving imminent danger are to be handled according to DOE Order 5483.1A. Improvement action plans which cannot be completed within 1 year are to be approved by the DOE/NV Manager. Approved improvement actions and target completion dates will be tracked by SD.

- i. The overseer determines the appropriateness of the proposed action. If proposed actions are unacceptable, they are returned to the implementing official with specific deficiencies noted.
- j. If the proposed actions are approved by the overseer, they are returned to the implementing official so work can be initiated. Approved improvement actions are then entered into the ATS by the implementing official.
- k. The implementing official performs planned actions and enters the status of the finding/recommendation into the ATS as milestones are met, objective evidence is generated, etc., until all actions associated with a finding/recommendation have been completed. If delays are encountered, improvement action plans are to be revised and approved according to paragraph h above.
- l. Upon completion of all improvement actions pertaining to a finding/recommendation, a Certification of Completion (Attachment III-3K-2) is prepared by the implementing official and forwarded to the overseer. The Certification of Completion is to be used in lieu of other forms of correspondence (i.e., official letters, memorandums that require concurrence, etc.). A printout of ATS Report 0026 (Attachment III-3K-3) or equivalent report is to be attached for each finding/recommendation.
- m. The overseer confirms that the approved improvement actions are complete and reviews the documentation. If the improvement actions and documentation are complete, the overseer signs the Certification of Completion, approving closure. If the improvement actions or documentation are not complete, the Certification of Completion will be returned to the implementing official for further action.
- n. If the implementing official agrees with the decision of the overseer, additional work will be performed. In those rare instances when the implementing official does not agree with the decision, an appeal is prepared and submitted to the DOE/NV Manager for resolution.
- o. After signing the Certification of Completion, the overseer enters the information into the ATS, attaches an updated Report 0026, and files the package for permanent retention. A copy of the certification is to be sent to SD.

- p. SD reviews each certification to determine if it is signed by both parties. If the certification is complete, SD administratively closes the finding/recommendation on the ATS. If the certification is incomplete, SD returns it to the overseer so that it may be completed.
  - q. Upon administrative closure, the certification is filed and maintained by SD.
  - r. Once all finding/recommendations are closed, SD officially closes the assessment on the ATS.
10. QA RECORDS.
- a. Objective evidence will be maintained by the implementing official.
  - b. The Certification of Completion will be maintained by the assessor.
  - c. Electronic files stored in the ATS will be maintained by the AMA. Information held by the implementing official and overseer will be retained in accordance with DOE Order 1324.2A.
11. DOCUMENT CONTROL. The content of this procedure is the responsibility of the Director, SD. Requests for interpretations of the provisions of this procedure and suggestions for changes should be addressed to the Director, SD.

**DOE/NV PROCESS FOR RESOLVING INTERNAL ASSESSMENTS**





**EXAMPLE****DOE NEVADA OPERATIONS OFFICE  
CERTIFICATION OF COMPLETION****ASSESSMENT REPORT TITLE:****DATE:****FINDING/RECOMMENDATION NUMBER(S):****A. IMPLEMENTING OFFICIAL**

I hereby certify that the appropriate improvement action(s) for the above finding/recommendation(s) have been satisfactorily completed and recommend closure. Attached is the ATS report on detailed actions taken. Following are references to documents which provide objective evidence of completion of improvement actions:

ACTION	DOCUMENT TITLE	DATE	FILE LOCATION

---

Typed Name and Signature

---

Date**B. OVERSEER**

I have reviewed the actions taken to address the above finding/recommendation, believe them to be satisfactorily completed and properly documented, and hereby approve closure.

---

Typed Name and Signature

---

Date





**REPORT R0026**  
**COMPLETE FINDING/RECOMMENDATION INFORMATION**

EXAMPLE

United States Department of Energy  
Nevada Operations Office

**Report R0026 Complete Finding Information**

<b>Finding:</b> Finding: Priority: Status: Action Plan page: Assessment page: Planned Action: Description:	<b>Section:</b> QUALITY ASSURANCE <b>Short name:</b> DOE STANDARDS PROGRAM Type: <b>Approving Official:</b> <b>Compliance:</b> Line: <b>Contractor:</b>	<b>Estimator:</b> Actual:	<b>assessment ID:</b> Finding: Start Completion Original: Current:
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1 Requirements

0 Area / Discipline

0 Position

0 Risk Assessment Code

<b>Planned Action:</b> Planned Action: Finding: Description:	<b>Short name:</b> Sets of milestones:
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<b>of Milestones:</b> Sets: Short name: Finding: Description:	<b>Compliance:</b> Line: Contractor:
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<b>Milestones:</b> Milestones: Short name: Status: Description:	<b>activities:</b> Finding:	<b>Compliance:</b> Line: Contractor:	<b>Original:</b> Current:	Start Completion
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1 Deliverables Required

0 Documentation Produced

<b>Milestones:</b> Milestones: Short name: Status: Description:	<b>activities:</b> Finding:	<b>Compliance:</b> Line: Contractor:	<b>Original:</b> Current:	Start Completion
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0 Deliverables Required

0 Documentation Produced

<b>Milestones:</b> Milestones: Short name: Status: Description:	<b>activities:</b> Finding:	<b>Compliance:</b> Line: Contractor:	<b>Original:</b> Current:	Start Completion
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Page 1

Assessment:

